

Attachment A

Office of Water Project Quality System Documentation Checklist

The purpose of this checklist is to guide EPA project managers, line managers, and quality system staff through the processes of planning a project, reviewing the planning documentation, and complying with the Office of Water quality system requirements for in-house work efforts, work assignments, contracts, cooperative agreements, grants, or interagency agreements where the Office of Water provides funds or technical support. As noted in Chapter 5, other forms of documentation may be employed, provided that the information needed to meet the requirements of the Office of Water quality system is included.

Office of Water Project Quality System Documentation Checklist
July 2001

The purpose of this checklist is to guide EPA project managers, line managers, and quality system staff through the processes of planning a project, reviewing the planning documentation, and complying with the Office of Water quality system requirements. Complete this form, or equivalent documentation, for any IN-HOUSE work effort, WORK ASSIGNMENT, CONTRACT, COOPERATIVE AGREEMENT, GRANT, or INTERAGENCY AGREEMENT where the Office of Water provides funds or technical support.

Section 1 - General Project Information - *(to be completed by the project manager or designee)*

Brief Descriptive Project Title:

Project Start Date:

Anticipated Project Completion Date:

EPA Project Manager:

Project Team Members:

Designated Quality System Team Member:

Name of contractor or grantee (if any):

Yes	No	
		Is this project related to a specific environmental decision, regulation, or enforcement action?
		Will EPA be collecting data during this project?
		Will an EPA contractor or grantee be collecting data during this project?
		Will data from other sources be used during this project?
		If so, were the data collected in association with this project or for some other purpose? (e.g., is this a secondary use of the data?)
		Sources of other data (if any):
		Is this a software/modeling development project?
		Is this a new contract, new work assignment, or new grant?

If the answer to **any** question above is "Yes," then complete the rest of this form.

If **all** answers above are "No," then sign this page and submit it with the procurement request or procurement initiation notice.

Project Manager's Signature

Date

Section 2 - Documenting the Planning Process *(to be completed by the project manager in consultation with the project team, including the quality system member, e.g., the QAC)*

The Office of Water quality system requires the use of systematic planning for all projects. **Check off** each planning step that has been completed.

	Identify the customer(s) or stakeholders and their needs and expectations, for the results of the work to be performed. This includes identifying the project goal, objectives, and questions and issues to be addressed. Identify the technical and quality goals that meet their needs and expectations.
	Identify the applicable standards, specifications, and statutory requirements with which the project must comply, as well as any other societal implications.
	Consider and address potential risks (e.g., budget overrun) and tolerable error (quantitative or qualitative) based on consideration of their consequences, such as making incorrect interpretations or wrong decisions. Consider and address the impacts and consequences of uncertainty (lack of knowledge) and variability.
	Identify the steps that will be used to establish quality (e.g., independent review, in-process and final inspection and testing, precision, accuracy, QC samples, data quality assessment, level of detail in documentation, document and record retention requirements, validation and verification of data, audits, and assessments) and any needed reports (e.g., test, assessment, deficiency).
	Identify if peer review is required and when it will be conducted (e.g., now or later). All major scientific and technical work products used in decision making will be peer reviewed. These products are documents or positions that are used to support a research agenda, regulatory program, policy position or other Agency position or action. The "Managers Planning Checklist for Peer Review" in the Peer Review Handbook will assist you.
	Consider any cost and schedule constraints within which project activities must be performed.
	Consider acceptance criteria for the result or measures of performance by which the results will be evaluated and customer satisfaction will be determined.
	Translate the technical and quality goals and requirements into requirements or specifications for the work assignment, IAG, grant, or cooperative agreement. Use a graded approach based on the intended use of the results, the degree of confidence needed in the quality of the results, the importance of the project, the available resources, and the schedule.
	For any project involving environmental data, define and document the acceptance criteria or quality objectives (DQOs) necessary to meet the project objectives. State how the acceptance criteria will be developed, or if the formal DQO process will be used. State the type of quality system documentation that will be employed (e.g., a QAPP or other form), and specify who will review and approve the documentation.

Project Manager's Signature

Date

Quality System Signature

Date

Section 3 - Quality System Documentation Requirements

(for projects involving environmental measurements)

The questions below are to be answered by the quality system staff member, e.g., the QAC, in order to establish the requirements for quality system documentation for the project.

Yes	No	Does the project require that:
		A written quality management plan or other document that describes the commitment of the Offeror's management to meet the quality requirements of the scope of work be included in the project plan, contract/cooperative agreement/grant proposal, etc.?
		A written quality assurance project plan (QAPP) be delivered as part of the project plan, contract proposal, grant, contract task order, etc.?
		Quality system reports be delivered? ___ with Progress Reports ___ with Final Report?
		Quality system audits be conducted for the contract? ___ Pre-Award ___ During Contract?
		Procedures are in place to review data against acceptance criteria?
		Another form of documentation be used instead of a QAPP (see below)?

Rationale, if no QAPP required: *(if another form of documentation is used, please specify it here)*

Please identify:

Organization responsible for preparing the QAPP
or other quality system documentation

If EPA, name of author

Due date for QAPP or other documentation

Anticipated start date of data collection

Section 4 - Review and Approval of Quality System Documentation

(to be completed by the quality system member)

EPA reviewer for QAPP or other documentation

Date review completed

Date documentation approved

Location of approved and signed documentation

Project Manager's Signature

Date

Quality System Signature

Date

Section 5 - Management Review *(to be completed by the Branch Chief in consultation with the quality system member)*

Yes	No	
		Are environmental data required for this project? (Section 1)
		Has the planning process been documented? (Section 2)
		Have requirements for the quality system documentation been established? (Section 3)
		Has the quality system documentation been reviewed and approved by both the Project Manager and the quality system staff member? (Section 4)
		If this is a contract, work assignment, task order, grant, cooperative agreement, or IAG, have the quality system requirements been included in the activity and documented on the appropriate forms?
		May this project proceed as planned?
		Is concurrence required from the Division Director or Office Director?

Comments:

Branch Chief's Signature

Date

For projects at the Division level:

Division Director's Signature

Date

For projects at the Office level:

Office Director's Signature

Date

